

PTO/SB/21 (09-04)
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1753
#

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

5

Application Number

09/638,075

Filing Date

August 11, 2000

First Named Inventor

Hiroji HANAWA, et al.

Art Unit

1753

Examiner Name

Rodney McDonald

Attorney Docket Number

004609 M Y1

ENCLOSURES (Check all that apply)



Fee Transmittal Form



Fee Attached



Amendment/Reply



After Final



Affidavits/declaration(s)



Extension of Time Request



Express Abandonment Request



Information Disclosure Statement



Certified Copy of Priority Document(s)



Reply to Missing Parts/
Incomplete Application



Reply to Missing Parts
under 37 CFR 1.52 or 1.53



Drawing(s)



Licensing-related Papers



Petition



Petition to Convert to a
Provisional Application



Power of Attorney, Revocation



Change of Correspondence Address



Terminal Disclaimer



Request for Refund



CD, Number of CD(s) _____

☐ Landscape Table on CD



After Allowance Communication to TC



Appeal Communication to Board
of Appeals and Interferences



Appeal Communication to TC
(Appeal Notice, Brief, Reply Brief)



Proprietary Information



Status Letter



Other Enclosure(s) (please identify
below):

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name

Law Office of Robert M. Wallace

Signature

Robert M. Wallace

Printed name

Robert M. Wallace

Date

11/08/2005

Reg. No.

29,119

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

Signature

Shelly Hart

Typed or printed name

Shelly Hart

Date

11/08/2005

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Effective on 12/08/2004.

Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).

FEE TRANSMITTAL
For FY 2005☐ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT** (\$) 180.00**Complete if Known**

Application Number	09/638,075
Filing Date	August 11, 2000
First Named Inventor	Hiroji HANAWA, et al.
Examiner Name	Rodney McDonald
Art Unit	1753
Attorney Docket No.	004609 M Y1

METHOD OF PAYMENT (check all that apply)☐ Check ☐ Credit Card ☐ Money Order ☐ None ☐ Other (please identify): _____☒ Deposit Account Deposit Account Number: 50-0338 Deposit Account Name: Robert M. Wallace

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☒ Charge fee(s) indicated below☐ Charge fee(s) indicated below, except for the filing fee☐ Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17☒ Credit any overpayments**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**FEE CALCULATION****1. BASIC FILING, SEARCH, AND EXAMINATION FEES**

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

2. EXCESS CLAIM FEES**Fee Description**

Each claim over 20 (including Reissues)

Fee (\$)	Small Entity Fee (\$)
50	25
200	100
360	180

Each independent claim over 3 (including Reissues)

Multiple dependent claims

Total Claims **Extra Claims** **Fee (\$)** **Fee Paid (\$)**

- 20 or HP = _____ x _____ = _____

HP = highest number of total claims paid for, if greater than 20.

Indep. Claims **Extra Claims** **Fee (\$)** **Fee Paid (\$)**

- 3 or HP = _____ x _____ = _____

HP = highest number of independent claims paid for, if greater than 3.

Multiple Dependent Claims
Fee (\$) **Fee Paid (\$)****3. APPLICATION SIZE FEE**

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

Total Sheets **Extra Sheets** **Number of each additional 50 or fraction thereof** **Fee (\$)** **Fee Paid (\$)**

_____ - 100 = _____ / 50 = _____ (round up to a whole number) x _____ = _____

4. OTHER FEE(S)

Non-English Specification, \$130 fee (no small entity discount)

Other (e.g., late filing surcharge): Fee under 37 CFR 1.97(d)

Fees Paid (\$)

180.00

SUBMITTED BY

Signature		Registration No. (Attorney/Agent) 29,119	Telephone 805-644-4035
Name (Print/Type)	Robert M. Wallace	Date	11-08-2005

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

CERTIFICATE OF MAILING
I hereby certify that this paper and every
paper referred to therein as being enclosed
is deposited with the U.S. Postal Service
as first class mail, postage prepaid, in
an envelope addressed to Commissioner
for Patents, P.O. Box 1450, Alexandria, VA 22313-1450
on NOVEMBER 8, 2005 (Date of Deposit)

PATENT

Attorney Docket No.: 004609 M Y1

RW Ref. No.: APM/039-00-RCE1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:
Hiroji HANAWA, et al.

Entitled: EXTERNALLY EXCITED TORROIDAL
PLASMA SOURCE

Serial No.: 09/638,075

Filing Date: August 11, 2000

)
) Group Art Unit: 1753
)
)
) Examiner: Rodney McDonald
)
)
)

INFORMATION DISCLOSURE STATEMENT WITH STATEMENT AND FEE FOR
CONSIDERATION UNDER 37 CFR 1.97(d)(e)

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In accordance with 37 CFR 1.56, the references listed below and on the attached form PTO-1449 are being brought to the attention of the Examiner for consideration in connection with the examination of the above-identified patent application. A copy of each cited foreign patent and non-patent literature document is enclosed.

This information is being submitted subsequent to the earlier of the mailing of the final action or notice of allowance, but before payment of the issue fee. Accordingly, pursuant to 37 CFR 1.97(d)(e), the undersigned submits the following statement and fee requesting consideration of this Information Disclosure Statement:

Statement under 37 CFR 1.97(e)

The undersigned hereby certifies:

.....that each item of information contained in the information disclosure statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. A copy of such communication is enclosed.

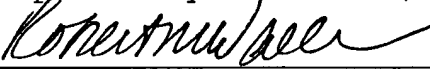
Fee under 37 CFR 1.97(d)

Applicants hereby submit the fee as set forth in 37 CFR 1.17(p). Please see the attached Fee Transmittal.

It is respectfully requested that the Examiner indicate consideration of the cited references by returning a copy of the attached form PTO-1449 with initials or other appropriate marks.

Dated: 11/08/2005

Respectfully submitted,


Robert M. Wallace
Reg. No. 29,119
Attorney for Applicants
Customer No. 000044843

Robert M. Wallace
Patent Attorney
2112 Eastman Avenue, Suite 102
Ventura, CA 93003
805-644-4035

INFORMATION
DISCLOSURE
STATEMENT BY APPLICANT

Sheet 1 of 1

Application Number: 09/638,075
Filing Date: August 11, 2000
First Named Inventor: Hiroji HANAWA, et al.
Group Art Unit: 1753
Examiner Name: Rodney McDonald
Attorney Docket Number: 004609 M Y1

U. S. PATENT DOCUMENTS

Examiner Initials	Document No	Publication Date	Name of Patentee or Applicant of Cited Document	Class	Subclass	Filing Date
	US-6,395,150 B1	05-28-2002	CAN CLEEMPUT ET AL.	204	192.37	04-01-1998
	US-6,413,321 B1	07-02-2002	KIM ET AL.	118	725	12-07-2000
	US 2003/0013260 A1	01-16-2003	GOSSMAN ET AL.	438	301	07-16-2001
	US 2003/0085205 A1	05-08-2003	LAI ET AL.	219	121.43	04-20-2001

FOREIGN PATENT DOCUMENTS

Examiner Initials	Foreign Patent Document	Publication Date	Country	Name of Patentee or Applicant of Cited Document	Translation? (Yes/No/n/a)
	EP 1 158 071 A2	28.11.2001	EUROPE	APPLIED MATERIALS, INC.	N/A
	JP 070455542	14.02.1995	JAPAN	MATSUSHITA ELECTRIC IND CO LTD	N/A
	JP 2000150908	30.05.2000	JAPAN	SEMICONDUCTOR ENERGY LAB CO LTD	N/A

NON PATENT LITERATURE DOCUMENTS

Examiner Initials	
	Hu, C.-K., et al., "A process for improved Al(cu) reactive ion etching", Journal of Vacuum Science and Technology", May 1, 1989, pp. 682-685, Vol. 7, No. 3, American Institute of Physics, New York, U.S.

Examiner's Signature:

Date Considered:

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.